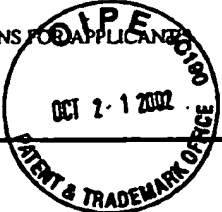






|   |    |  |            |                                     |       |                           |                            |
|---|----|--|------------|-------------------------------------|-------|---------------------------|----------------------------|
| FORM PTO-1449 (Modified)  |    |  |            | ATTY. DOCKET NO.<br>YOR919990123US2 |       | SERIAL NO.:<br>09/936,320 |                            |
| LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S<br>INFORMATION<br>DISCLOSURE STATEMENT   |    |  |            | APPLICANT: Jack O. Chu              |       |                           |                            |
|   |    |  |            |                                     |       |                           |                            |
| (Use several sheets if necessary)   |    |  |            | FILING DATE:<br>September 12, 2001  |       | GROUP:<br>2811            |                            |
| REFERENCE DESIGNATION   |    |  |            |                                     |       |                           |                            |
| U.S. PATENT DOCUMENTS   |    |  |            |                                     |       |                           |                            |
| EXAMINER<br>INITIALS  |    | DOCUMENT<br>NUMBER   | DATE       | NAME                                | CLASS | SUBCLASS                  | FILING DATE<br>(IF APPRO.) |
| <i>h</i>  | AA | 5,019,882  | 05/28/1991 | Solomon et al.                      | 357   | 23.8                      | May 15, 1989               |
| <i>h</i>  | AB | 5,534,713  | 07/09/1996 | Ismail et al.                       | 257   | 24                        | May 20, 1994               |
| <i>h</i>  | AC | 5,241,197  | 08/31/1993 | Murakami et al.                     | 257   | 192                       | September 13, 1991         |
| <i>h</i>  | AD | 5,298,452  | 03/29/1994 | Meyerson                            | 437   | 81                        | February 21, 1992          |
| <i>h</i>  | AE | 5,659,187  | 08/19/1997 | Legoues et al.                      | 257   | 190                       | June 7, 1995               |
| <i>h</i>  | AF | 5,241,197  | 08/31/1993 | Murakami et al.                     | 257   | 192                       | September 13, 1991         |
| <i>h</i>  | AG | 5,259,918  | 11/09/1993 | Akbar et al.                        | 156   | 610                       | June 12, 1991              |
|   | AH |  |            |                                     |       |                           |                            |
| FOREIGN PATENT DOCUMENTS  |    |  |            |                                     |       |                           |                            |
|   |    | DOCUMENT<br>NUMBER   | DATE       | COUNTRY                             | CLASS | SUBCLASS                  | TRANSLATION<br>YES NO      |
| <i>h</i>  | AJ | 05 121450 A  | 15/05/1993 | Japan                               | H01L  | 21/338                    |                            |
| OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)  |    |  |            |                                     |       |                           |                            |
| <i>h</i>  | AM | R. People and J.C. Bean, "Band Alignments Of Coherently Strained Ge <sub>x</sub> Si <sub>1-x</sub> / Si Heterostructures On <001> Ge <sub>2</sub> Si <sub>1-x</sub> Substrates"; Appl. Phys. Lett. 48 (8); pp. 538-539; February 24, 1986. |            |                                     |       |                           |                            |
| <i>h</i>  | AN | G. Hock et al., "High Performance 0.25μm p-Type Ge/SiGe MODFETs"; Electronics Letters; Vol. 34; No. 19; pp. 1888-1889; September 17, 1998.   |            |                                     |       |                           |                            |
| <i>h</i>  | AO | U. Konig and F. Schaffler, "p-Type Ge-Channel MODFETs With High Transconductance Grown On Si Substrates"; IEEE Electron Device Letters; Vol. 14; No. 4; pp. 205-207; April 1993.   |            |                                     |       |                           |                            |
| EXAMINER <i>[Signature]</i>   |    |  |            | DATE CONSIDERED <i>10/05/02</i>     |       |                           |                            |
| EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance <u>and</u> not considered. Include copy of this form with next communication to applicant. |    |  |            |                                     |       |                           |                            |

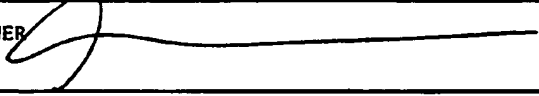
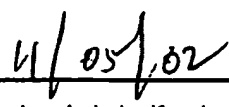
|   |  |                                     |  |                           |  |
|---|--|-------------------------------------|--|---------------------------|--|
| FORM PTO-1449 (Modified)  |  | ATTY. DOCKET NO.<br>YOR919990123US2 |  | SERIAL NO.:<br>09/936,320 |  |
| LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S<br>INFORMATION<br>DISCLOSURE STATEMENT |  | APPLICANT: Jack O. Chu              |  |                           |  |
| (Use several sheets if necessary)   |  | FILING DATE:<br>September 12, 2001  |  | GROUP:<br>2811            |  |



| REFERENCE DESIGNATION |    | U.S. PATENT DOCUMENTS |      |      |       |          |                            |
|-----------------------|----|-----------------------|------|------|-------|----------|----------------------------|
| EXAMINER<br>INITIALS  |    | DOCUMENT<br>NUMBER    | DATE | NAME | CLASS | SUBCLASS | FILING DATE<br>(IF APPRO.) |
|                       | BA |                       |      |      |       |          |                            |
|                       | BB |                       |      |      |       |          |                            |
|                       | BC |                       |      |      |       |          |                            |

| FOREIGN PATENT DOCUMENTS |    |                    |      |         |       |          |             |
|--------------------------|----|--------------------|------|---------|-------|----------|-------------|
|                          |    | DOCUMENT<br>NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION |
|                          |    |                    |      |         |       |          | YES NO      |
|                          | BD |                    |      |         |       |          |             |
|                          | BE |                    |      |         |       |          |             |
|                          | BF |                    |      |         |       |          |             |

| OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)                    |  |
|---|--|
|  | BE M. Arafa, "A 70-GHz $f_t$ Low Operating Bias Self-Aligned p-Type SiGe MODFET"; IEEE Electron Device Letters; Vol. 17; No. 12; pp. 586-588; December 1996.   |
|  | BF U. Kong et al., "SiGe HBTs And HFETs"; IEEE Solid State Electronics; Vol. 38; No. 9; pp. 1595-1602; Elsevier; 1995.   |
|  | BG Milind Gokhale et al., "Enhanced Performance Of PMOS and CMOS Circuits Using Self-Aligned MOSFETs With Modulation Doped Si-Ge Channel"; Proceedings of the Tenth Biennial University/ Government/Industry Microelectronics Symposium; 1993 IEEE; US; New York; pp.219-222; May 18-19, 1993. |
|  | BH David W. Greve, "Field Effect Devices And Applications"; Prentice-Hall, Inc; Simon & Schuster/ A Viacom Company; Upper Saddle River, NJ, 07458; Chap. 8: Structure Of The GaAs MESFET; p.315; Table 8.1; 1998.  |

|  |   |
|--|---|
| EXAMINER  | DATE CONSIDERED  |
|--|---|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.